

RECORDS RETENTION SCHEDULE

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WHY HAVE A RECORDS RETENTION SCHEDULE?

Responsibility:	As a publicly funded institution, the Kentucky Transportation Cabinet has a special responsibility under Kentucky law to see that information the Cabinet creates and maintains is organized and accessible for use.
Retention:	Retention depends upon a record's value (whether administrative, legal, fiscal, or historical).
Paper Tigers:	<div>Uncontrolled proliferation of records</div> <div><ul style="list-style-type: none">seriously impairs effectiveness and ability to do daily workincreases operating costs</div> <div>Destruction of records without legal authorization can place agencies at major risk and liability and can severely disrupt normal administrative/programmatic functions.</div>
Records Management Program:	<div>Implementing and maintaining a systematic control of recorded information help control:</div> <div><ul style="list-style-type: none">records the Cabinet createscosts associated with their maintenanceprotection and management of information</div>
Records Retention Schedule:	<div>The schedule is a list of each record type and electronic records system that a public agency creates. A record series is a filing unit or document maintained as a unit because it</div> <div><ul style="list-style-type: none">relates to a particular subject or functionresults from the same activityhas a particular formhas a relationship to a development arising out of its creation, receipt, or use</div> <div>The schedule allows for destruction of records with limited retention value and for designation and preservation of records with permanent retention value.</div>
Revising the Schedule:	When the Cabinet creates new records or electronic systems or when certain records or systems become obsolete, the schedule is revised to reflect those changes.

Legal Authority:	Agencies using an approved schedule have legal authority to make disposition of their records when following the given directions.		
Penalties:	KRS 519.060 provides penalties for the unlawful removal, tampering, or destruction of records. KRS 434.845 -.850 deals with unlawful access to a computer. Misuse of computer information is under KRS 434.855. These statutes describe various records-related offenses, punishable as felonies under the Kentucky penal code.		
Records Retention Forms:	Forms are available from the Office of Policy and Budget (502-564-6927) .		
	L-A&R 140	Records Request Authorization	(Figure 1)
	PRD 70	Records Transmittal	(Figure 2)
	PRD 70a	Records Transmittal Continuation Sheet	(Figure 3)
	PRD 60	Box Label	(Figure 4)
	PRD 160	Record Request	(Figure 5)
	PRD 50	Records Destruction Certificate	(Figure 6)
	PRD 311	Microfilm Quality Evaluation	(Figure 7)
	PRD 320	Record Description and Analysis	(Figure 8)
NEED HELP?:	If you have questions about the Transportation Cabinet's Records Retention Schedule, contact the Office of Policy and Budget (502-564-6927) .		

	DEFINITIONS
Accession —the act and procedures in the transfer of legal title and taking of records into physical custody of an archival agency, records center, or manuscript repository	
Accession Number —a unique identification number assigned by the Public Records Division to each records transmittal	
Administrative Value —the usefulness of records in conducting day-to-day business	
Appraisal —the process of determining the value and disposition of records	
Arrangement —the process and results of organizing records and manuscripts in accordance with accepted archival principles	
Auditable Record —a record requiring a fiscal audit prepared or approved by the state auditor's office	
Case File —a folder or other file unit containing material relating to a specific action, event, person, place, project, or other subject	
Central Files —files of several offices or organizational units physically and/or functionally centralized and supervised in one location	
Closed File —(1) a file unit or series containing documents where action has been completed and additional documents are not likely to be added or (2) a file unit or series where access is limited or denied	
Confidential Record —a record not open to public inspection by authority of the KRS, KAR, Code of Federal Regulations, or similar authority	
Copy —a reproduction of the contents of an original document, prepared simultaneously or separately	
Cubic Feet —the measurement of volume for records, archives, and manuscripts	
Date Span —the beginning/ending dates of records eligible for transmittal or destruction	
Destruction Certificate —a document for recording the legal destruction of public records	
Destruction Date —the projected date that records will be destroyed, as indicated on the transmittal (calculate by comparing the disposition instructions in the Records Retention Schedule with the date the record was created)	
Disposition — the ultimate fate of a record, whether destruction or permanent retention	
Document —(1) recorded information regardless of medium or characteristics or (2) a single record or manuscript item	
Duplicate Record —the copy of a record that is not the original but is maintained by an administrative unit for reference or convenience purposes only	

- File**—an accumulation of records maintained in a predetermined physical arrangement
- Files**— the collective term applied to all records of an office or agency
- General Correspondence**—correspondence not crucial to the preservation of the administrative history of the agency; usually non-policy in nature and without permanent value
- General Records Schedule**—a records control schedule governing the retention and disposition of specified recurring records series common to several or all organizations
- Indefinite Records**—(1) the period of time before the retention of a record begins (Example A: The departmental copy of a personnel record is 5 years, but the retention does not begin until the individual's employment with the agency is terminated.) (Example B: Retention period of a contract is 3 years, but retention does not begin until completion, termination, or expiration of the contract, plus audit.); (2) for reference and informational material, retention that is determined by when the records cease to have value administratively (NOTE: *Indefinite* does not indicate a retention period and does not mean permanent.)
- Item**—the smallest unit of record material that accumulates to form file units and series, for example, a letter, memorandum, report, leaflet, photograph, or reel of film or tape
- KDLA**—the abbreviation for Kentucky Department for Libraries and Archives
- Machine-Readable Records**—records and archives whose informational content is usually in code and has been recorded on media such as magnetic discs, drums, tapes, punched paper cards, or punched paper tapes, accompanied by finding aids, or software documentation (NOTE: The coded information is retrievable only by machine.)
- Nonpermanent Record**—a record with a specific, fixed retention period or a record whose retention period depends upon the occurrence of a specific action
- NOS**— the abbreviation for “Not on Schedule”
- Office of Record**—the office or administrative unit legally responsible for maintaining the original (record copy) of a record
- Official Correspondence**—a permanent record that documents the major activities, functions, and programs of an agency and important events in its history
- Permanent Record**—a record of continuing value to the agency, state or local government, or researchers, needed for administrative, legal, fiscal, or historical purposes

Public Agency—defined by KRS 171.410, Section 4, as “every state or local office, state department, division, bureau, board, commission, and authority; every legislative board, commission, committee, and officer; every county and city governing body, council, school district board, special district board, municipal corporation, and any board, department, commission, committee, subcommittee, ad hoc committee, council or agency thereof; and any other body which is created by state or local authority and which derives at least twenty-five percent (25%) of its funds from state or local authority”

Public Records—defined by KRS 171.410 as “all books, papers, maps, photographs, cards, tapes, disks, diskettes, records, and other documentary materials regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency”

Public Records Division (PRD)—acts as the central depository for public records; establishes standards for the selective retention of records of continuing value; prescribes the policies and principles to be followed by state and local agencies in conducting their records management programs; establishes procedures for the disposal of public records; establishes procedures for recording, managing, preserving public records; collects reports and publications issued for public distribution. The division is made up of 5 distinct but interrelated branches: (1) State Records Branch, (2) Local Records Branch, (3) Archives Branch, (4) Micrographics Branch, and (5) Systems Control and Access Branch

Record—(1) recorded information regardless of media or characteristics or (2) for machine-readable records, two or more data fields in predetermined order and treated as a unit

Record Description and Analysis—a form designed to supply the descriptive information needed to make a knowledgeable appraisal of a record series and assign disposition instructions

Records Management—the systematic control of recorded information, regardless of format, from original creation to ultimate disposition

Records Manager— the person responsible for or engaged in a records management program

Records Retention Schedule—a list of each record type termed a “record series” and each electronic records system created by a public agency; its two main objectives: (1) the timely and systematic destruction of records with limited retention value and (2) the designation and preservation of records series with a permanent retention value

Retention Period—the length of time a record is to be maintained

Schedule Change Date—the month and year the change was approved by the State Archives and Records Commission

Schedule Date—the month and year the Records Retention Schedule was approved by the State Archives and Records Commission

- Series**—a file unit or document arranged in accordance with a filing system or maintained as a unit because it relates to a particular subject or function, results from the same activity, has a particular form, or has a relationship to a development arising out of its creation, receipt, or use
- Series Number**—a unique number assigned to each records series on a Records Retention Schedule
- State Archives and Records Commission**—per KRS 171.420 and 171.670, the commission that has the authority to review and approve all records retention schedules submitted by state and local public agencies through the department and that has final and exclusive authority to determine the ultimate disposition of Kentucky’s public records
- State Publication**—all printed material (such as reports, directories, and bibliographies) issued by or for a state agency, regardless of printed format, but excluding material issued for internal administrative use
- State Archives Center**—the center providing centralized storage and retrieval services for records with a permanent retention period
- State Records Center**—the center providing (1) centralized storage and retrieval services for records with a limited retention requirement and for permanent records with frequent use and (2) destruction services for records eligible for destruction on deposit at the center
- Transmittal**—a form (1) documenting the transfer of records (permanent and nonpermanent) from any public agency to the State Archives Center or the State Records Center and (2) providing pertinent information concerning the records being received, their locations in the center, and eventual disposition
- Vital Record**—(1) a record considered essential to the continued operation of an agency or agency program or (2) a record required to protect rights of individuals and/or the government



TRANSMITTALS

Transfer records to the State Archives Center (permanent records) or the State Records Center (non-permanent records) according to disposition instructions in the Records Retention Schedule.

- Emergency Storage:**Transfers to the Public Records Division may be obtained when unusual or emergency records storage problems arise.
- Custody:**Records transferred to State Archives Center or State Records Center are placed in the custody of the Kentucky Department for Libraries and Archives (KDLA).
- Access:**Access to records stored at the
 - State Archives Center is under the control of KDLA, *unless restricted by law*
 - State Records Center is controlled by the transmitting agencyOnly the agency Records Officer and the originating office have access to transferred records. Within the originating office, only persons listed on form L-A&R 140, Records Request Authorization (*Figure 1*), are authorized to retrieve records.



*Each originating office is responsible for keeping its records authorization card current. Notify the **Office of Policy and Budget (502-564-6927)** of any changes in authorization.*

Figure 1

Obtain form L-A&R 140 from Office of Policy and Budget.

L-A&R 140
8/82

RECORDS REQUEST AUTHORIZATION
Public Records Division
Kentucky Department for Libraries and Archives

Agency _____

Unit _____

The following persons are authorized to request or otherwise use the records of the above agency which are located in the State Archives or Records Center.

Agency Records Officer _____ Date _____

**TRANSFERRING PERMANENT RECORDS
(State Archives Center)**

- (1) Arrange permanent records according to records series. Place only one record series on each transmittal form, PRD 70 (*Figure 2*); i.e., prepare as many transmittals as there are records series.
- (2) Number containers (box, roll, book, bundle) consecutively, beginning with container number 1 on each transmittal (EXCEPTION: pre-numbered microfilm rolls).
- (3) Use Public Records Division standard size records storage boxes (one cubic foot).
- (4) Place records upright in the boxes, one folder behind the other, in the exact order as maintained in the active files (alphabetical, numerical, chronological, etc.). Do not overload boxes.
- (5) In each box, place a folder list on top of the records. List each box's contents, and show the series number, title of record as given on the retention schedule, plus any other descriptive details necessary to identify the records.
- (6) Use a black marker to place the box number in the upper right corner of each box on the small, smooth end. Make numbers approximately 2" in size.
- (7) Contact the **Office of Policy and Budget**, and obtain accession number(s) as needed.
- (8) Type box labels form PRD 60 (*Figure 4*), and place in the center of the end where the box number is written.
- (9) Type transmittal form PRD 70 (*Figure 2*), and forward to the **Office of Policy and Budget** for approval and signature.



*For transfer instructions of records that cannot be stored in the standard size storage contact the **Office of Policy and Budget (502-564-6927)**.*

**TRANSFERRING NONPERMANENT RECORDS
(State Records Center)**

- (1) Arrange nonpermanent records according to destruction date. Type as many record series on each transmittal form, PRD 70 (*Figure 2*), as have the same destruction date; that is, prepare as many transmittals as there are destruction dates.
- (2) Number containers (box, roll, book, bundle) consecutively, beginning with container number 1 on each transmittal (EXCEPTION: pre-numbered microfilm rolls).
- (3) Use Public Records Division standard size records storage boxes (one cubic foot).
- (4) Place records upright in the boxes, one folder behind the other, in the exact order as maintained in the active files (alphabetical, numerical, chronological, etc.). Do not overload boxes.
- (5) Use a black marker to place the box number in the upper right corner of each box on the small, smooth end. Make numbers approximately 2 inches in size.
- (6) Contact the **Office of Policy and Budget**, and obtain accession number(s) as needed.
- (7) Type box labels form PRD 60 (*Figure 4*), and place in the center of the end where the box number is written.
- (8) Type transmittal form PRD 70 (*Figure 2*), and send to the **Office of Policy and Budget** for approval and signature.



*For transfer instructions of records which cannot be stored in the standard size storage boxes, contact the **Office of Policy and Budget (502-564-6927)**.*

TRANSMITTAL FORM INSTRUCTIONS

Type the records transmittal form PRD 70 (*Figure 2*). If the form is insufficient to record the entire shipment, attach the records transmittal continuation sheet PRD 70a (*Figure 3*). Complete as follows:

- (1) CABINET/LOCAL JURISDICTION—Transportation Cabinet
- (2) DEPARTMENT/LOCAL GOVERNMENT OFFICE—self-explanatory
- (3) DIVISION—name of departmental division
- (4) BRANCH/UNIT—name of unit that falls under the division
- (5) RETENTION SCHEDULE DATE—the month/year the current Records Retention Schedule was approved by the Archives and Records Commission
- (6) TOTAL CONTAINERS—the total number of boxes, rolls, books, bundles, or other in the transmittal/shipment
- (7) PERMANENT?—the space for marking whether the records have permanent or nonpermanent retention
- (8) DESTRUCTION DATE—the day/month/year the shipment is due to be destroyed (For permanent records, type “NONE” in the space.)
- (9) BOX, ROLL, BOOK, BUNDLE, OTHER—type of container the records are in for shipment (Consecutively number the boxes, rolls, books, bundles, or other in the column, using one line per number.)
- (10) SERIES NUMBER AS ON SCHEDULE—the series number from the Records Retention Schedule (NOTE: Permanent records can have only one (1) records series listed.)
- (11) TITLE OF RECORDS—exactly as listed on the Records Retention Schedule (Additional description can be added for each container.)
- (12) DATE SPAN OF RECORDS IN EACH CONTAINER—the inclusive (beginning and ending) dates of the records in each box, roll, book, bundle, or other
- (13) IS ACCESS TO THESE RECORDS RESTRICTED?—the space for indicating whether access to the records is restricted; IF YES, CITE AUTHORITY (NOTE: If transmitting security microfilm, check “yes” only if a research copy of the film may not be made.)
- (14) AGENCY RECORDS OFFICER SIGNATURE—self-explanatory (Sign transmittal, and forward to the **Office of Policy and Budget** for approval, signature, and date.)
- (15) PAGE 1 OF—the space to enter total number of pages in the transmittal/shipment

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- (16) CENTRAL OFFICE—The Office of Policy and Budget returns the agency copy (goldenrod sheet) to the originating office and forwards the transmittal(s) to the State Records Division, 300 Coffee Tree Road, Frankfort, Kentucky 40601, for final approval, unless instructed otherwise by the originating office.

Staff from the State Archives Center or the State Records Center will contact the originating office to arrange pickup of the records.

After shipment is shelved in one of the centers, the originating office will receive the agency locator copy (canary sheet) of the transmittal, destroy the goldenrod sheet, and keep the canary sheet on file until destruction of the transmitted records.

- (17) DISTRICTS—The Office of Policy and Budget returns the transmittal to the originating district office.

District personnel then contacts the State Archives Center or the State Records Center to arrange a time for the records to be delivered. ***KDLA does not pick up outside Franklin County.***

After shipment is shelved in one of the centers, the originating district office will receive the agency locator copy (canary sheet) of the transmittal, destroy the goldenrod sheet, and keep the canary sheet on file until destruction of the transmitted records.

SEE FIGURE 2 

Figure 2

Records Transmittal to State Archives Center or State Records Center
Kentucky Department for Libraries and Archives, Public Records Division
300 Coffee Tree Road, P.O. Box 537, Frankfort Kentucky 40602

Cabinet/Local Jurisdiction

TRANSPORTATION CABINET

Department/Local Government Office

OFFICE OF POLICY AND BUDGET

Division

Branch/Unit

POLICY AND PROCEDURES DEVELOPMENT

Retention Schedule Date

DEC 1995

Total Containers

6

Permanent? YesNo

X

Destruction Date

01 JAN 1999

(Day, Month, Year)

PRD USE ONLY

Accession No.RG. No.

CompilerDate

ShelverVol.

PRD USE	FOR AGENCY USE			
LOCATION IN CENTER	BOX ROLL BOOK BUNDLE OTHER	() () () () ()	SERIES NUMBER AS ON SCHEDULE	TITLE OF RECORDS, EXACTLY AS LISTED ON THE RECORDS RETENTION SCHEDULE
			M0002	GENERAL CORRESPONDENCE
	1			ADAIR - CARLISLE
	2			CARROLL - GARRARD
	3			GRANT - KNOTT
	4			KNOX - MARTIN
	5			MASON - PULASKI
	6			ROBERTSON - WOODFORD
				1/1/96-12/31/96
				1/1/96-12/31/96
				1/1/96-12/31/96
				1/1/96-12/31/96
				1/1/96-12/31/96
				1/1/96-12/31/96

IS ACCESS TO THESE RECORDS RESTRICTED? Yes No X If YES, CITE AUTHORITY

*By transferring permanent records to the State Archives Center, an agency acknowledges that records are not needed for current business use.
By transferring permanent records to the State Records Center, an agency acknowledges that records are needed for current business use.

Agency Records Officer Signature

Date

Page 1 of 1

Send first four sheets to the Public Records Division. Retain the last sheet until you receive your "Agency Locator Copy."

White-Central File Copy Green-Archives Center Copy Canary-Agency Locator Copy Pink-Records Center Copy Goldenrod-Agency Copy

PRD 70
Rev. 12/92

SEE FIGURE 3



**Records Transmittal to State Archives Center or State Records Center
(Continuation Sheet)**

Branch/Unit _____

Page_____ of _____PRD 70a
Rev. 12/92

BOX LABEL INSTRUCTIONS

Complete the box label form, PRD 60 (*Figure 4*), as follows:

- (1)AGENCY—Transportation Cabinet
- (2)UNIT—name of unit that falls under the agency listed above
- (3)TITLE OF RECORDS—exactly as shown on the agency's Records Retention Schedule
- (4)DATES OF RECORDS—the inclusive (beginning and ending) dates of the records in each container
- (5)DESTRUCTION DATE—the day/month/year the records are due to be destroyed. (For permanent records, type “NONE” in the space.)

Figure 4

- (6)BOX NUMBER—the number of the box as on the transmittal
- (7)TOTAL BOXES—the total number of boxes for the entire transmittal
- (8)ACCESSION NUMBER—as on the transmittal
- (9)ARRANGEMENT OF RECORDS—the order of the records in the box (alphabetical, numerical, chronological, etc.)
- (10)DESCRIPTION OF CONTENTS—any additional information that will assist in describing the contents of each box

Public Records Division Kentucky Department for Libraries and Archives		
Agency TRANSPORTATION CABINET		
Unit OFFICE OF POLICY AND BUDGET		
Title of Records GENERAL CORRESPONDENCE		
Dates of Records FROM: 1/1/96 TO: 12/31/96		Destruction Date 1/1/99
Box Number 1	Total Boxes 6	Accession No. R1997-XXX
Arrangement of Records CHRONOLOGICAL		
Description of Records GENERAL CORRESPONDENCE WITH KENTUCKY COUNTIES—ADAIR TO CARLISLE PRD 60 Rev. 11/83		



RETRIEVING FILES

Access: Only the agency Records Officer or agency personnel whose names are listed on the Records Request Authorization form, L-A&R 140 (*Figure 1*), may request records.

Procedures: Follow these steps:

1) Complete Record Request form PRD 160 (*Figure 5*) for records stored at the State Archives Center or the State Records Center. Provide the following information:

a. Requesting Agency	g. Date of Request
b. Unit	h. Original or Copy of Record
c. Mailing Address	i. Location in Center
d. Person Requesting Record	j. Accession Number
e. Telephone Number	k. Record Series Title
f. Action—Pick up or Mail	l. Refiling at Center

2) Forward the completed PRD 160 (*Figure 5*) to the **Office of Policy and Budget** for review. The Office of Policy and Budget will return the approved form to the originating office for use in obtaining the requested record.

3) The agency locator copy identifies location:

State Archives Center—location prefix A, B, C, or D
State Records Center—location prefix I, II, III, V, VI, VII, or VIII

Shipment of Records: Shipment is normally by messenger mail in Franklin County (central office). U.S. mail or special messenger is used to send records to offices outside Franklin County (to the districts).

Hand Delivery: The Record Request form shall be hand-delivered to the State Archives Center or State Records Center for pickup or for on-site review at the depository.

Refiling: When it is no longer needed, the record, along with the Record Request form, shall be returned to ensure proper refiling.

See Figure 5

Figure 5

PRD 160
Rev. 9/85

RECORD REQUEST
Public Records Division - Kentucky Department for Libraries and Archives

Requesting Agency TRANSPORTATION CABINET		Unit OFFICE OF POLICY AND BUDGET		Mailing Address ROOM XXXX STATE OFFICE BUILDING 501 HIGH STREET FRANKFORT, KENTUCKY 40601			
Requested By (Name) SUZIE Q. EMPLOYEE		Telephone Number 502-564-XXXX					
Action PICK UP		Date 1/2/97	Request for <input type="checkbox"/> Original <input type="checkbox"/> Photocopy				
Location in Center	Accession Number	Unit Number	Record Series Title	Identification Number (Voucher, Case, etc.)	To Be Returned?	Date Record	
						Out	In
V/XXX-XXX	R1995-XXX	Box 1	IMPREST CASH FILE - 1995		YES		
Retrieved By/Date		Return Record To: <input type="checkbox"/> State Records Center 851 East Main Street Frankfort, KY 40601 (502) 564-3617 <input type="checkbox"/> State Archives Center 300 Coffee Tree Rd., Box 537 Frankfort, KY 40601 (502) 564-8300					

IMPORTANT: Keep This Form Attached to Record!



DESTRUCTIONS

Disposition:	Disposition of all public records eligible for destruction shall be done according to the disposition instructions in the Transportation Cabinet's Records Retention Schedule or the General Schedule for State Agencies.
NOS:	When a record does not appear on the schedule (NOS), disposition shall be made only with special permission of the State Archives and Records Commission.
Destruction Methods:	No preferred method for destroying public records exists except when specified by law. However, records of a sensitive or confidential nature shall be burned or shredded. Other records may be recycled, buried, placed in a dumpster, burned, shredded, or destroyed by any other means.
Records Stored Off-Site:	The State Records Center arranges for destruction of records housed at that facility once the retention period has been met.

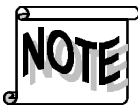
PROCEDURES FOR DESTRUCTION—OFF SITE

Public Records Division:	<div><div>1. Maintains a suspense file (by destruction date) of Records Destruction Certificates of all nonpermanent records transferred to the State Records Center.</div><div>2. Sends the Transportation Cabinet's copy of the Records Destruction Certificate and notification of pending destruction to the Cabinet's Records Officer.</div></div>
Transportation Cabinet's Records Officer:	<div><div>3. Checks the Destruction Certificate for accuracy and forwards it to the originating unit for review and approval.</div><div>4. Notifies the Public Records Division, within allotted time, of any need to withhold destruction of the records.</div><div>5. Retains a copy of the agency's Records Destruction Certificate with a notification letter attached.</div></div>
Public Records Division:	<div><div>6. Disposes of the records listed on the Records Destruction Certificate unless notified otherwise.</div><div>7. Certifies the destruction by signing and dating the Records Destruction Certificate.</div><div>8. Retains its copy of the Records Destruction Certificate.</div></div>

PROCEDURES FOR DESTRUCTION—AT AGENCY

- (1) Complete a Records Destruction Certificate, PRD 50 (*Figure 6*), when records on the Record Retention Schedule are eligible for destruction.
- (2) Destroy the records.
- (3) Forward the the Destruction Certificate to the Office of Policy and Budget for signature. The Office of Policy and Budget shall
 - sign and return the agency copy (pink sheet—permanent copy) to the originating office
 - sign and send the Records Destruction Certificate (white and yellow sheets) to the Public Records Division
- (4) If you wish to destroy records not on the Records Retention Schedule or the General Schedule for Stage Agencies,
 - place “NOS” in the series number column
 - forward the Records Destruction Certificate to the Office of Policy and Budget before destroying the records

The Office of Policy and Budget shall examine the certificate and send it to the Public Records Division for review and approval. The Public Records Division shall notify the Records Officer of whether or not the records may be destroyed.



The Records Destruction Certificate is a permanent record. The originating office shall permanently retain the agency copy (pink sheet) as proof of legal destruction.

RECORDS DESTRUCTION CERTIFICATE INSTRUCTIONS

Complete the Records Destruction Certificate, PRD 50 (*Figure 6*), as follows:


- (1) DATE—the month/day/year the certificate is prepared
- (2) CABINET/LOCAL JURISDICTION—Transportation Cabinet
- (3) DEPARTMENT/ LOCAL GOVERNMENT OFFICE—Name of department
- (4) DIVISION—Name of departmental division
- (5) BRANCH/UNIT—name of unit which falls under the division
- (6) SCHEDULE DATE—the month/year the current Records Retention Schedule was approved by the Archives and Records Commission

CONTINUED ➡

- (7) DESTRUCTION DATE—the date the records were destroyed
- (8) DESTROYED AT—"X" by agency
- (9) DESTRUCTION METHOD—Landfill, trash, shredded, recycled, etc.
- (10) SERIES NUMBER—As given in the records retention schedule
- (11) TITLE OF RECORDS—Exactly as shown in the records retention schedule
- (12) DATE SPAN—inclusive (beginning and ending) dates of the records destroyed
- (13) CUBIC FEET—cubic feet of each series of records destroyed
- (14) TOTAL VOLUME—total volume of records destroyed
- (15) APPROVALS AND CERTIFICATIONS—The Records Officer signs and dates the form certifying proper destruction of the records, sends agency copy (pink sheet) to originating office, and forwards Certificate (white/yellow sheets) to KDLA for further certification.

SEE FIGURE 6 

PRD 50
Rev. 02/95Date: 1/2/97

Agency Use				PRD Use	
Series No.	Title of Records	Date Span	Cu. Ft.	Unit No.	Location in Center/Vault
M0002	GENERAL CORRESPONDENCE	1/94-9/94	3.0		
P0011	TIME & ATTENDANCE REPORTS (396's)	1/93-9/93	1.0		
M0014	REQUEST FOR LEAVE	1/95-9/95	1.0		
Total Volume (Cu. Ft.) of Records Destroyed 			5.0		

Destruction at PRD Records Center, Archives Center, Vault		Destruction at Agency
I hereby give final approval to destroy the records described Above.		<p>Before destroying records not listed on the agency's Records Retention Schedule or the General Schedule for State Agencies, approval must be obtained from the State Archives and Records Commission.</p>
State Archivist and Records Administrator	Date	
I hereby certify that the records described above have been Destroyed.		
		I hereby certify that the records described above have been destroyed.
Archives Center Agent	Date	
Records Center Agent	Date	
Micrographics Agent	Date	Records Officer/Custodian Date



MICROGRAPHICS AND MICROFILMING

The Public Records Division sets standards and procedures for the reproduction of public records as required by KRS 171.450. Compliance to these standards and procedures becomes more important when the reproduction replaces the original format of the record.

Micrographics laboratories, whether public agencies or private companies microfilming public records, are certified on a yearly basis. For information on certification, contact KDLA Micrographics for the publication *Standards for the Certification of Micrographics Laboratories*.

There are four categories of standards and procedures for microfilming:

1. Microfilm Procedures—Off Site

For records microfilmed, processed, duplicated and for security microfilm storage by the Public Records Division

2. Microfilm Procedures—Produced by Agency

For microfilm produced by the Transportation Cabinet and sent to the Public Records Division for processing and/or duplication and for security microfilm storage

3. Microfilm Procedures—Agency to Agency

For microfilm produced by the Transportation Cabinet, sent to the Public Records Division for processing and/or duplicating, and returned to the Transportation Cabinet (applies only to records with retention period of 5 years or less

4. Microfilm Procedures—Agency to Security Storage

For microfilm produced, processed, and duplicated by the Transportation Cabinet and sent to the Public Records Division for security microfilm storage (applies to records with retention period of more than 5 years with the originals to be destroyed

MICROFILM PROCEDURES—OFF SITE

Outlined are the procedural responsibilities of the Transportation Cabinet **(TC)** and the Public Records Division **(PRD)**:

- TC:**
- 1. Arranges records in correct order.
 - 2. Removes all paper clips, staples, binders, etc.
 - 3. Prepares a list (by series number and description) of records to be filmed.
 - 4. Signs a blank transmittal for the security microfilm to be stored at PRD.
 - 5. Notifies Micrographics that records are ready for filming and arranges for transfer.
 - 6. Provides the following information for each transmittal:
 - a. Cabinet designation
 - b. Department name
 - c. Branch name
 - d. Title of record series (from approved Records Retention Schedule)
 - e. Series number (from approved Records Retention Schedule)
 - f. Earliest date of records to be filmed
 - g. Latest date of records to be filmed
 - h. Filing arrangement (alphabetical, chronological, numerical, or combination)
- PRD:**
- 7. Prepares targets for the records to be filmed.
 - 8. Films the records and processes and duplicates the film.
 - 9. Returns duplicate use film to the agency.
 - 10. Prepares transmittal for security microfilm if:
 - a. Microfilmed records are to be destroyed.
 - b. 100 rolls have been transferred.
 - c. Microfilm agreement has been completed.
 - d. Annually in December none of the above has occurred.
 - 11. Prepares Microfilm Quality Evaluation form (PRD 311) and gives to division director for approval. Prepares Records Destruction Certificate (PRD 50).
 - 12. Places security microfilm in vault and notes location on transmittal.
 - 13. Returns agency locator copy of transmittal to agency.
 - 14. Sends agency copy (pink sheet) of Records Destruction Certificate, copy of Microfilm Quality Evaluation, and notification of pending destruction of hard copies.
 - 15. Destroys the records and signs and dates the Records Destruction Certificate if nothing is heard from the agency within allotted time.



When hard copy is to be retained after microfilming, it may be returned to the Transportation Cabinet or accessioned by the Public Records Division in the normal manner.

MICROFILM PROCEDURES—PRODUCED BY AGENCY

The following list outlines the procedural responsibilities of the Transportation Cabinet (TC) and the Public Records Division (PRD):

- TC:

1.

Notes on each film container the series number of the records filmed.
Films permanent and nonpermanent records on different rolls.

2.

Prepares film for shipment to PRD.
- PRD:

3.

Processes and/or duplicates film.

4.

Returns duplicate use film to the agency.
- TC:

5.

Prepares and sends to PRD a transmittal for security microfilm (a roll-by-roll listing) if:

a.

Microfilmed records are to be destroyed.

b.

100 rolls have been transferred.

c.

Microfilm agreement has been completed.

d.

Annually in December none of the above has occurred.

6.

Completes agency section of the Microfilm Quality Evaluation form and sends it to PRD.
- PRD:

7.

Tests microfilm for quality. Completes the PRD section of the Microfilm Quality Evaluation form and sends to the division director for approval. (If not acceptable, the film is returned to the agency, and this procedure is aborted.)

8.

Places security microfilm in vault and notes location on the transmittal.

9.

Returns Microfilm Quality Evaluation form and agency locator copy of the transmittal to the agency.
- TC:

10.

Destroys the hard copy of the microfilmed records if approved on the Microfilm Quality Evaluation form.

11.

Completes the Records Destruction Certificate and keeps agency copy (pink sheet). Sends approved Microfilm Quality Evaluation form and the Records Destruction Certificate (white and yellow sheets) to PRD.



When the records retention period is 5 years or less, no Microfilm Quality Evaluation is necessary.

When hard copy is to be retained after microfilming, it may be retained by the Transportation Cabinet or accessioned by the Public Records Division in the normal manner.

MICROFILM PROCEDURES—AGENCY TO AGENCY

The following lists outline the procedural responsibilities of the Transportation Cabinet (TC) and the Public Records Division (PRD):

- TC:

1.

Notes on each film container the series number of the records filmed.

2.

Prepares film for shipment to PRD.
- PRD:

3.

Processes and/or duplicates the film.

4.

Returns all film to the agency.

MICROFILM PROCEDURES—AGENCY TO SECURITY STORAGE

- TC:

1.

Sends PRD a transmittal for the security microfilm (roll-by-roll listing).
- PRD:

2.

Notifies the agency Records Officer of the transmittal approval.
- TC:

3.

Sends PRD the entire shipment of security microfilm and the Microfilm Quality Evaluation form with the agency section completed.
- PRD:

4.

Tests microfilm for quality. Completes PRD section of the Microfilm Quality Evaluation form and sends to the division director for approval. (If not acceptable, the film is returned to the agency, and this procedure is aborted.)

5.

Places the security microfilm in the vault and notes location on the transmittal.

6.

Returns Microfilm Quality Evaluation form and the agency locator copy of the transmittal to the agency.
- TC:

7.

Destroys the hard copy of the microfilmed records, if approved on the Microfilm Quality Evaluation form.

8.

Completes the Records Destruction Certificate and retains the agency copy (pink sheet). Sends the approved Microfilm Quality Evaluation form and Records Destruction Certificate (white and yellow sheets) to PRD.

MICROFILM QUALITY EVALUATION INSTRUCTIONS

- Tests:

The Public Records Division tests all microfilm of public records with a retention period over 5 years to ensure all standards are met and correct procedures are followed.
- Recording Lab Test Results:

The Microfilm Quality Evaluation (MQE) form, PRD 311 (*Figure 7*), is used to record laboratory test results, deposit of a silver master copy with the Public Records Division, and based on these, approval or disapproval of destruction of original records.
- MQE Form:

Complete the Microfilm Quality Evaluation form as follows:

(1) AGENCY:

Transportation Cabinet

(2) UNIT:

Name of division/branch of the agency listed

(3) DATE:

Date the MQE is prepared

(4) SECTION 1:

Roll No: First roll number and last roll number of shipment of microfilm (Example: 1—25)

Schedule Date and Series No: Month/year the current Records Retention Schedule was approved by the Archives and Records Commission (Example: 9/1981) and each series number from the Records Retention Schedule

Title of Records as on Schedule: Exactly as shown on the schedule for each series

Inclusive Dates: Oldest and most-recent dates of the records in each series

(5) SECTION 2:

Signed and dated by the agency Records Officer or custodian who certifies the records have been filmed in their entirety and a silver copy is stored with the Public Records Division for security

(6) SECTION 3:

Completed by the Micrographics Branch of the Public Records Division

(7) SECTION 4:

Signed by the State Archivist and Records Administrator, approving or disapproving destruction of the hard copy records, after microfilm is tested

SEE FIGURE 7 ➡

Figure 7

Date _____

[illegible]



PLACING ITEMS ON RECORDS RETENTION SCHEDULE

Before a record series is included on the Records Retention Schedule, it must be identified, described, and appraised by completing a Record Description and Analysis (D & A) form, PRD 320 (*Figure 8*). The D & A supplies all information needed to gain intellectual control of a series.

- Retention periods can be assigned more efficiently.
- Duplicate, vital/confidential records and those with special storage needs can be identified.

Complete the D & A form as follows:

- (1) **Record Group Number:** Leave blank (PRD use only).
- (2) **Series Number:** If record is already scheduled, place number in this space. If record has not been scheduled, leave blank (PRD assigns the number).
- (3) **Originating Agency:** Name agency (cabinet or department) that created or accumulated series described and is responsible for record's informational content.
- (4) **Administrative Unit:** Name division, branch, section, and unit within agency responsible for actual maintenance of the series.
- (5) **Physical Custodian:** Name the administrative unit with physical custody of the *active* record described:

Compiler—Name person responsible for completing the D & A.

Date—Give date form was completed by compiler.

Phone Number—Provide telephone number of compiler.

- (6) **Title of Record:** If title is on the agency's schedule, enter it exactly as it appears on the schedule. If title is unscheduled or inaccurate, enter a title that best describes the series' function and content.
- (7) **Variant Title:** Write the title by which the series is commonly referred to with the office or work unit.
- (8) **Record Is:** Indicate whether record is the original (record copy) or a duplicate.
- (9) **Location(s) of Alternate Copies:** If the series is an original, list each location of duplicate by entering name of the department, division, branch, or unit holding the duplicate. If the series is a duplicate, identify the custodian of the original (department, division, branch, or unit).
- (10) **Information Summarized In:** Give titles and series numbers of all other series that partially or totally summarize information in this series(may include publications, reports, general ledgers, and audits).
- (11) **Medium:** Identify the physical form(s) of the series. Some series can exist in several mediums—for example, hard copy (paper) and microfilm (16mm roll film).
- (12) **Arrangement/Sort Sequence:** Specify how the series is arranged—alphabetical, chronological, numerical, combination (give sequence), etc. If the series is a machine-readable record, specify the sort sequence—random, chronological, etc.

CONTINUED 

(13) **Index/Finding Aids:** Describe any finding aids used to access the series—for example, indices, lists, or published guides. NOTE: For access/retrieval, indices must accompany case files when transferred to the archives.

(14) **Date Span:**

In Agency—Indicate date span of the series described located in your agency. The series may have been created in 1985 and is still used. Therefore, the entry should be “1985 to present.”

State Records Center—If the series is stored at the State Records Center, consult your transmittal file to determine the date span.

State Archives Center—If the series is maintained at the Archives, consult your transmittal file to determine the date span.

(15) **Volume:**

In Agency—Indicate the volume of the series located in agency. For paper (hard copy), Express in cubic feet. For bound volumes, specify number and size. If the series is on medium other than paper, specify number of rolls and size of film, numbers and sizes of computer tapes, disks, etc.

State Records Center—Consult transmittal file to determine volume of the series transmitted.

State Archives Center—Consult transmittal file to determine volume of the series transmitted.

(16) **Annual Accumulation:** Indicate in cubic feet the number of bound volumes, rolls of film, computer tapes, disks, etc.

(17) **Reference Rate:** Indicate how many times the series was referenced during the first year of its creation, and the subsequent years indicated.

(18) **Function and Use:** Describe the purpose the series is/was created and used. Include specific information regarding activities, processes, or transactions the record documents. Provide how the series is used, its relationship to other series, title changes, or any information that helps better define the series.

(19) **Contents:** Describe the specific information contained in the series. If the series is a single record or document, list all entries it contains. If the series is a file consisting of several documents, list each document contained therein. If the series is computer generated, list various data elements it contains.

(20) **Input Records:** If the record is a result of other related series, list the related series title(s) and number(s) that provide information to partially or completely create the series described.

(21) **Output Records:** List other series by title(s) and number(s) that are created directly from the information contained in this series.

(22) **Vital Record:** Indicate whether or not this series is vital. A vital record is one that is considered absolutely essential to the continued operation of a program or agency, or one required to protect rights of individuals and/or the government.

CONTINUED



(23) **If yes, Vital Retention Period:** Indicate the length of time series must be kept to satisfy vital records requirements.



All records identified as vital require special protection activities.

- (24) **Vital Records Protection Instructions:** Describe the method by which the vital record is protected. Methods include:
- natural dispersion
 - duplicating record and storing off site
 - duplicating record and storing on site in protected environment
 - storing record on site at the end of each day in a protected environment
 - storing record off site at the end of each day in a protected environment
- (25) **Access Restrictions:** Indicate whether or not access to the series is restricted. Confidential records are not open to public inspection by authority of KRS, KAR, Code of Federal Regulations, or similar authority. If record is restricted, attach a copy of the legal authority restricting access.
- (26) **Is Record Subject to Audit?:** Indicate whether or not the series is subject to audit and by which agency—that is, state, federal, or internal agency.
- (27) **Audit Retention Requirement:** Indicate the number of years this series must be retained to satisfy audit requirements.
- (28) **Legal Retention Requirement:** Indicate the number of years this series must be retained, and cite the KRS, KAR, CFR specifically requiring the retention.
- (29) **Appraisal Criteria:** Insert the retention required to satisfy values of the series. The series may have more than one value:
- *Administrative Value*—The series described is useful to originating agency to carry on day-to-day activities.
 - *Legal Value*—The series proves legal or civil rights of individuals to citizenship, property, and employment rights.
 - *Fiscal Value*—The series documents financial authorizations, obligations, and transactions and provides an audit trail.
 - *Research Value*—The series provides valuable information relating to persons, things, places, and phenomena that may be valuable for historical or scientific research.
 - *Intrinsic Value*—The series has qualities or characteristics that in its original, physical form is the only acceptable form for archival preservation.
- (30) **Rationale for Retention:** Record any additional information to support recommended retention period.
- (31) **Agency Retention:** Indicate the length of time this series must be retained in the agency prior to final disposition.

CONTINUED ➡

- (32) **Disposition Instructions:** Define specific instructions for further handling of this series—that is, transfer to State Archives Center, transfer to State Records Center, retain in agency, etc.
- (33) **Records Center Retention:** Indicate the length of time this series is to be maintained at the State Records Center.
- (34) **Archives Center Retention:** Enter “Permanent” if this series has permanent retention and will be maintained in the State Archives Center.
- (35) **Total Retention:** Enter the maximum retention for this series.

Records Analyst Signature and Date—Completed by PRD.

SEE FIGURE 8



FIGURE 8

PRD 320 Rev. 4/86 Record Description and Analysis Public Records Division Department for Libraries & Archives		1. RECORD GROUP NO.		2. SERIES NO.	
		3. ORIGINATING AGENCY			
		4. ADMINISTRATIVE UNIT			
		5. PHYSICAL CUSTODIAN			
COMPILER		DATE		PHONE NO.	
IDENTIFICATION AND DESCRIPTION					
6. TITLE OF RECORD			7. VARIANT TITLE		
8. RECORD IS: <input type="checkbox"/> Original <input type="checkbox"/> Duplicate		9. LOCATION(S) OF ALTERNATE COPIES (Original or Duplicate[s])			
10. INFORMATION SUMMARIZED IN:					
11. MEDIUM (If Machine Readable Record, Complete and Attach Form PRD 320 M) <div><input type="checkbox"/> Paper <input type="checkbox"/> Computer Printout <input type="checkbox"/> Microform <input type="checkbox"/> Computer Disk</div> <div><input type="checkbox"/> Computer Diskette <input type="checkbox"/> Computer Tape <input type="checkbox"/> Audio/Video Tape <input type="checkbox"/> Photographic Negative</div> <div><input type="checkbox"/> Photographic Print <input type="checkbox"/> Motion Picture <input type="checkbox"/> Other (explain)</div>					
12. ARRANGEMENT/SORT SEQUENCE (Alpha, Numeric, Chronological, Random, etc.): Explain in detail.					
13. INDEX/FINDING AID(S)					
14. DATE SPAN: <div><div>In Agency</div><div>State Records Center</div><div>State Archives</div></div> <div>From: To: From: To: From: To:</div>					
15. VOLUME: <div><div>In Agency</div><div>State Records Center</div><div>State Archives</div></div>					
16. ANNUAL ACCUMULATION (Cu.Ft.)					
18. FUNCTION AND USE (For what purpose is/was record created? What activity, process, or transaction does it document?)					

CONTINUED ➡

19. CONTENTS (Documents in this file? Information on this form? Data Elements in this computer file, etc.)		
20. INPUT RECORDS (What records flow into, or provide information to create, this record?)		
21. OUTPUT RECORDS (What records flow out of the information in this record series?)		
22. VITAL RECORD? <input type="checkbox"/> Yes <input type="checkbox"/> No	23. If Yes, VITAL RETENTION PERIOD?	
24. VITAL RECORDS PROTECTION INSTRUCTIONS		
25. ACCESS RESTRICTIONS <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain restrictions and attach copy of authority (KRS, KAR, CFR, etc.)		
26. IS RECORD SUBJECT TO AUDIT? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, list AUDITING AGENCY (Federal, State, Internal)		27. AUDIT RETENTION REQUIREMENT
28. LEGAL RETENTION REQUIREMENT: <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, cite statute and state length of retention period required.		
ANALYSIS		
29. APPRAISAL CRITERIA <div><div><input type="checkbox"/> Administrative Retention Value</div><div><input type="checkbox"/> Legal Retention Value</div><div><input type="checkbox"/> Fiscal Retention Value</div><div><input type="checkbox"/> Research Retention Value</div><div><input type="checkbox"/> Intrinsic Retention Value</div></div> <div>Years</div> <div><div></div><div></div><div></div><div></div><div></div></div>		30. RATIONALE FOR RETENTION
31. AGENCY RETENTION		
32. DISPOSITION INSTRUCTIONS:		
33. RECORDS CENTER RETENTION:_____	34. ARCHIVES CENTER RETENTION:_____	35. TOTAL RETENTION: _____

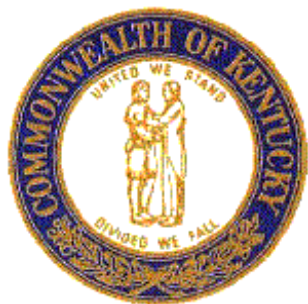


VOLUME EQUIVALENTS

(Indicate volume of records in **cubic feet** only.)

EQUIPMENT/CONTAINERS	CUBIC FEET
Letter-size file drawer or box.....	1.5
Legal-size file drawer or box.....	2.0
Letter-size shelf (36" long)	2.0
Legal-size shelf (36" long)	2.5
3" x 5" cards, ten 12" rows/drawers.....	1.0
3" x 5" cards, five 24" rows/drawers	1.0
4" x 6" cards, six 12" rows/drawers	1.0
4" x 6" cards, three 24" rows/drawers.....	1.0
5" x 8" cards, four 12" rows/drawers.....	1.0
3½" x 8" tab cards, five 14" boxes.....	1.0
3½" x 8" tab cards, three 24" boxes	1.0

NOTE: When it is necessary to indicate a fraction of an amount, use a decimal (EXAMPLES: 0.1, 1.3, 2.0, 10.2). **Do not use a fraction.**



Fiscal Records
Personnel and Payroll Records
Miscellaneous Records

Schedule Date: December 1995

Electronic Records

Schedule Date: December 1988

Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

RECORDS RETENTION SCHEDULE

Signature Page

General Schedule for State Agencies Agency	December 1995 Schedule Date
Fiscal Records—Personnel & Payroll Records Unit and Miscellaneous Records	Change Date
	Date Approved by Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Agency Head	Date of Approval
Agency Records Officer	Date of Approval
State Archivist and Records Administrator Director, Public Records Division	Date of Approval
Chairperson, Archives and Records Commission	Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Records Analyst/Regional Administrator	Date of Approval
Appraisal Archivist	Date of Approval
State/Local Records Branch Manager	Date of Approval

The determination as set forth meets with my approval.

Auditor of Public Accounts	Date of Approval
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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

General Schedule for State Agencies

I = Indefinite
P = Permanent

V = Vital Record
C = Confidential Record

Fiscal Records

Schedule Date: December 14, 1995

Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
F0001	Annual Financial Report	P	Retain in agency.	
F0002	Operating Budget	P	Retain in agency.	
F0003	Budget Requests	5	Destroy.	
F0004	Budget Work Papers	5	Destroy.	
F0005	Audit Reports	P	Retain in agency.	
F0006	Journals and Ledgers (Manual)	P	Retain in agency.	
F0007	Contracts and/or Agreements (with public or private agencies or individuals)	I	Destroy 3 years after completion, termination of contract, and audit.	
F0008	Notice of Amendment to Personal Service Contracts	I	Destroy 3 years after completion, termination of contract, and audit.	
F0009	Notice of Extension of Personal Service Contracts	I	Destroy 3 years after completion, termination of contract, and audit.	
F0010	Progress Payments on Capital Construction Projects	3	Destroy after audit.	
F0011	Memorandum to Establish Delete Accounts	3	Destroy after audit.	
F0012	Authorization to Acquire Investments	3	Destroy after audit.	
F0013	Inter-Bank Transfers	3	Destroy after audit.	
F0014	Request for Purchase	3	Destroy after audit.	
F0015	Purchase Requisition	3	Destroy after audit.	
F0016	Automated Purchase Requisition	3	Destroy after audit.	
F0017	Purchase Order	3	Destroy after audit.	
F0018	Notice of Agency Purchase	3	Destroy after audit.	
F0019	Advice of Change in Order	3	Destroy after audit.	
F0020	Advice of Emergency Purchase	3	Destroy after audit.	
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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

General Schedule for State Agencies

Fiscal Records

Schedule Date: December 14, 1995

I = Indefinite
P = Permanent

V = Vital Record
C = Confidential Record
Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
F0021	Departmental Purchase Order	3	Destroy after audit.	
F0022	Departmental Authorization for Payment and Receiving Report	3	Destroy after audit.	
F0023	Journal Vouchers	3	Destroy after audit.	
F0024	Pay-In Vouchers	3	Destroy after audit.	
F0025	Special Vouchers	3	Destroy after audit.	
F0026	Warrants	3	Destroy after audit.	
F0027	Standard Invoice	3	Destroy after audit.	
F0028	Request and Authorization for Refund	3	Destroy after audit.	
F0029	Loss Claims	3	Destroy after audit.	
F0030	Miscellaneous Encumbrance Requisition	3	Destroy after audit.	
F0031	Multi-Program Cost Distribution	3	Destroy after audit.	
F0032	Request for Allotment	3	Destroy after audit.	
F0033	Secretary's Order (original in Finance & Administration Cabinet)	3	Destroy after audit.	
F0034	Inter-Account Bill	3	Destroy after audit.	
F0035	Request for Delivery on Contract	3	Destroy after audit.	
F0036	Agency Request for Quotation	3	Destroy after audit.	
F0037	Quarterly Forms Requisition	3	Destroy after audit.	
F0038	Duplicating Requisition	3	Destroy after audit.	
F0039	Order for Printing or Duplicating	3	Destroy after audit.	
F0040	Quick Copy Transmittals	3	Destroy after audit.	

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

General Schedule for State Agencies

Fiscal Records

Schedule Date: December 14, 1995

I = Indefinite
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C = Confidential Record
Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
F0041	Central Stores Requisition	3	Destroy after audit.	
F0042	Central Stores Order and Voucher	3	Destroy after audit.	
F0043	Out-of-State Travel Authorization	3	Destroy after audit.	
F0044	Travel Expense Vouchers (in-state and out-of-state)	3	Destroy after audit.	
F0045	Travel Report – Monthly	3	Destroy after audit.	
F0046	Freight Claim (request for inspection)	3	Destroy after audit.	
F0047	Equipment Inventory (annual listing)	3	Destroy after audit.	
F0048	Request for Disposal of Equipment	3	Destroy after audit.	
F0049	State-Owned Property, Declared Surplus	3	Destroy after audit.	
F0050	Requisition for Surplus Property	3	Destroy after audit.	
F0051	Stockroom Supplies Order	3	Destroy after audit.	
F0052	Requisition on Stockroom	3	Destroy after audit.	
F0053	W-2 and K-2 File	3	Destroy after audit.	
F0054	Time Distribution Report	3	Destroy after audit.	
F0056	Warrant on State Treasury (daily printout)	3	Destroy after audit.	
F0057	Warrant – Voucher Register (monthly printout)	3	Destroy after audit.	
F0058	Outstanding Encumbrance (monthly printout)	3	Destroy after audit.	
F0059	Availability of Funds (daily run, printout)	2 mos.	Destroy.	
F0060	Expenditure Detail (monthly printout)	3	Destroy after audit.	

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STATE ARCHTIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

General Schedule for State Agencies

Fiscal Records

Schedule Date: December 14, 1995

I = Indefinite
P = Permanent

V = Vital Record
C = Confidential Record
Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
F0061	Expenditure Analysis (monthly printout) (year-end report is an accumulation of entire year)	I	Destroy July-May reports after 2 months. Destroy June report after 3 years and audit.	
F0062	Imprest/Petty Cash Authority	3	Destroy after audit.	
F0063	Imprest/Petty Cash Voucher	3	Destroy after audit.	
F0064	Summary of Imprest Cash Disbursements and Request for Reimbursements	3	Destroy after audit.	
F0065	Imprest/Petty Cash Reconciliation Statement	3	Destroy after audit.	
F0066	Imprest Cash Collateral Security Encumbrance Document	3	Destroy after audit.	
F0067	Imprest Cash Journals and Ledger	3	Destroy after audit.	
F0068	Imprest Cash Bank Book	3	Destroy after audit.	
F0069	Imprest Cash Encumbrance	3	Destroy after audit.	
F0070	Request for Approval of Bank Account	3	Destroy after audit.	
F0071	Authorization for Inter-Bank Transfer	3	Destroy after audit.	
F0072	Deposit Slips and Bank Statements	3	Destroy after audit.	
F0073	Cancelled Checks	3	Destroy after audit.	
F0074	Uniform State Financial Records – duplicate (additional copies of records listed under Fiscal Office of Record maintained in other units of agency)	3	Destroy after audit.	
F0075	Proof of Necessity	I	Destroy 3 years after completion, termination or expiration and audit.	
F0076	Finance Closing Package	3	Destroy after audit.	
F0077	Trip Ticket – white copy	3	Destroy after audit.	

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

General Schedule for State Agencies
Fiscal Records
Schedule Date: December 14, 1995

I = Indefinite
P = Permanent

V = Vital Record
C = Confidential Record
Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
F0078	Work Order for Photographs	3	Destroy after audit.	
F0079	Vendor File Maintenance Form (DOA-58)	I	If the agency is on-line with STARS, the form may be destroyed upon verification with Finance & Administration, Division of Accounts. If the agency is not on-line, destroy when business with the vendor has ceased.	
F0080	Agency Insurance Coverage Files	I	Destroy 3 years after expiration of insurance policy, bond, or certificate, and audit.	
F0081	Monthly Report Permanently Assigned Vehicles Form (CHANGE DATE: June 1996)	3	Destroy after audit.	

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RECORDS RETENTION SCHEDULE

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

General Schedule for State Agencies

Personnel and Payroll

Schedule Date: December 14, 1995

I = Indefinite
P = Permanent

V = Vital Record
C = Confidential Record

Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
P0001	Personnel Folder – Departmental Copy (original in Department of Personnel) – may Include information related to accrual of leave, payroll deductions, insurance, retirement, disciplinary actions, performance evaluations, and personnel actions. (C) KRS 61.878 (1) (a)	I	Destroy 5 years after termination of employment in the agency. NOTE: Should an employee transfer to another state agency, the Personnel Folder will transfer as well to the new agency. Termination is defined as "no longer an employee of state government."	
P0002	Personnel Records –Division and/or Subunit Duplicates (C) KRS 61.878 (1) (a)	I	Destroy 2 years after termination of employee in the division and/or subunit.	
P0003	Application for Prospective Employees Not Covered by Merit Exam Registers	1	Destroy if not placed in Personnel Folder.	
P0004	Merit Exam Registers – Duplicate (original in the Department of Personnel)	2 mos.	Destroy.	
P0005	Employee Evaluation File (includes evaluation form and supporting documentation) (C) KRS 61.878 (1) (a)	I	Destroy 5 years after termination of employment in the agency.	
P0006	Commonwealth Credit Union Deductions	3	Destroy after audit.	
P0007	Bills for Employees Insurance Deduction	3	Destroy after audit.	
P0008	P-1 Listing	3	Destroy after audit.	
P0009	Request for Refund on Payroll	3	Destroy after audit.	
P0010	Request for Payroll Action (P-5)	3	Destroy after audit.	
P0011	Time and Attendance Report	3	Destroy after audit.	
P0012	Request for Paid Overtime	3	Destroy after audit.	
P0013	Overtime Certification	3	Destroy after audit.	

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		Retain at Agency (Years)	Disposition Instructions	
P0014	Sick Leave Sharing File – Original	3	Destroy after audit.	
P0015	Payroll Reports Subject to Audit (Computer printouts may include Report 10-Payroll and Deduction Register, Report 15-Check Issued Register, Report 152-Payroll Register, Report 153-Payroll Distribution Charges, Report 154-Sick, Vacation, & Compensatory Accruals, Report 1001-Input Transaction List, Report 1006-Payroll Change Listing, Report 1009-Employee Diagnostics Listing, Report 1011-Employee Assumption Report	3	Destroy excess copies when no longer useful and audit. NOTE: After one complete agency audit, one or more of these reports may be declared not subject to audit by the state auditor.	
P0016	Payroll Reports Not Subject to Audit (see attached list)	6 mos.	Destroy.	

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SN P0016	Payroll Reports Not Subject to Audit
Report 12	Manual Check Issued Register
Report 14	Deductions Not Taken Register
Report 21	Employees Within Deduction 26
Report 30	Bond Register
Report 32	Master Employee List
Report 44	Series -EE- Bonds Issued Register
Report 45	Bond Requisition Register
Report 59	Gross Pay Limit Exceeded
Report 62	Payroll Summary Report
Report 63	Current Statistics for Billing
Report 85	Magnetic Tape Reporting
Report 151	Payroll Deduction Report
Report 155	Current Tax Composite Recap
Report 158	Bond Register and Bank Interface
Report 160	Crunion 1 Payroll Deduction Arrears Report
Report 161	Education - Special Output Totals
Report 162	Leave Without Pay Report
Report 164	Extracted from Report 156
Report 500	Journal Vouchers
Report 501	Payroll Voucher
Report 902	Employees With 120 Months of Service
Report 1003	Released Pending Transactions
Report 1004	Transaction Balance Report
Report 1017	Updated Pending Transactions
Report 2001	CTL List and Payroll Calculation Report
Report 2002	Reports Being Generated
Report 2004	Reports Generated
Report 2007	Recycled Pending Transactions
Report 3002	Company Header 2
	Unemployment Insurance Cover Sheet Summary for Quarter 4
	Unemployment Insurance Summary Wage Report for Quarter 4
	Unemployment Insurance Detail Wage Report for Quarter 4
	W-2 Wage and Tax Statement
	Workers' Compensation

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Personnel and Payroll

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Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
P0017	AMR-1 Payroll Verification Form – Regular or Supplemental (P-20 and/or P-2 1) - Duplicate (original in Department of Personnel)	3	Destroy after audit.	
P0018	AMR8-2 Schedule of Tax and Retirement Deductions (P-22) – Duplicate (original in Department of Personnel)	3	Destroy after audit.	
P0019	AMR-3 Schedule of Standard Payroll Deductions (P-23) – Duplicate - (original in Department of Personnel)	3	Destroy after audit.	
P0020	AMR-4 Schedule of Payroll Distribution (P-24) – Duplicate (original in Department of Personnel)	3	Destroy after audit.	
P0021	AMR-5 Schedule of Earned Income Credit (P-25) - Duplicate (original in Department of Personnel)	3	Destroy after audit.	
P0025	Payroll Voucher (P-8)	3	Destroy after audit.	
P0026	Supplementary Payroll Vouchers (PE-6) - Duplicate	3	Destroy after audit.	
P0027	Quarterly Earnings History Report (UPPS Printout) (C) KRS 61.878 (1) (a) Personal Information	4	Destroy 4th quarter reports after 4 years. Destroy 1st, 2nd and 3 rd quarter reports upon receipt of 4th quarter report.	
P0028	Employee Medical/Health File (C) KRS 61.878 (1) (a) Personal Information	I	Destroy 5 years after termination of employment in the agency. NOTE: Should an employee transfer to another state agency, the Employee Medical/Health file will transfer to the new agency as well. Termination is defined as “no longer an employee of state government.”	

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General Schedule for State Agencies
Personnel and Payroll
Schedule Date: December 14, 1995

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Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
P0029	Bloodborne Pathogens File--State Employee (V) (C) 29 CFR 1910.1030 Medical Information	I	Transfer to the State Records Center 5 years after termination of employment in the agency. NOTE: Should an employee transfer to another state agency, this series will transfer to the new agency as well. Termination is defined as "no longer an employee of state government."	25
P0030	Labor Statistics Log and Summary of Occupational Injuries & Illnesses (CHANGE DATE: June 1996)	5	Destroy after audit.	
P0031	Tuition Assistance Authorization File (C) KRS 61.878 (1) (a)--Grades (CHANGE DATE: June 1996)	I	Destroy 3 years after completion of course(s) and audit.	

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RECORDS RETENTION SCHEDULE

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Kentucky Department for Libraries and Archives

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Miscellaneous Records
Schedule Date: December 14,1995

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
M0001	Official Correspondence (having enduring historical or legal value)	I	Transfer to State Archives when administrative value has ceased.	P
M0002	General Correspondence (correspondence that is not crucial to an understanding of the administrative history of the agency)	I	Retain no longer than 2 years.	
M0003	Policies and Procedures – Record Copy	P	Retain 1 copy in office of origin.	
M0004	Policies and Procedures – Duplicate Copy	I	Destroy when superseded.	
M0005	Administrative Orders (issued within agency) – Record Copy	P	Retain 1 copy in office of origin.	
M0006	Administrative Orders – Duplicate Copy	I	Destroy when superseded.	
M0007	Publications Created by or for Agency (3 copies requested per 725 KAR 1:040)	P	Forward 3 copies to the Publications Section of the Public Records Division when issued. Retain 1 copy in the agency. Destroy excess copies when no longer useful.	P
M0008	Minutes of Board or Commission Meetings	P	Forward 1 copy to the State Archives Center after each meeting. Retain 1 copy in the agency. Destroy excess copies when no longer needed.	P
M0009	Minutes of Agency Staff Meetings	I	Destroy after 5 years and when no longer useful.	
M0010	Speeches by Administrative Heads (when written or recorded and given as a function of or in behalf of the agency)	P	Retain in agency.	
M0011	Organizational Charts – Record Copy	P	Retain 1 copy of each revision in the agency. Destroy excess copies when no longer needed.	

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RECORDS RETENTION SCHEDULE

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Public Records Division

Kentucky Department for Libraries and Archives

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I = Indefinite

V = Vital Record

Miscellaneous Records

P = Permanent

C = Confidential Record

Schedule Date: December 14, 1995

Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
M0012	Equipment Inventory Card	I	Destroy 3 years after disposal of equipment.	P
M0013	Equipment Inventory Card – Duplicate	I	Destroy when obsolete.	
M0014	Mission Statements – Record Copy	P	Retain 1 copy in office of origin. Destroy excess copies when no longer needed.	
M0015	Mission Statements – Duplicate	I	Destroy when superseded.	
M0016	Request to Inspect Public Records (Open Records Request)	I	Destroy when requested record is destroyed and after audit. (A transfer to the State Records Center may be accepted when identified with a scheduled series, and a retention period has been determined.)	
M0017	Open Records Register	5	Destroy.	
M0018	Informational & Reference Material	I	Destroy when no longer useful.	
M0019	Legislative File	I	Destroy when no longer useful.	
M0020	Newspaper Clipping File – Informational	I	Destroy when no longer useful.	
M0021	Itineraries	2 mos.	Destroy.	
M0022	Annual or Summary Reports	P	Forward 3 copies to the Publications Section of the Public Records Division when issued. Retain 1 copy in the agency. Destroy excess copies when no longer useful.	
M0029	Activity Report – Periodic	2	Destroy.	
M0030	Time and Attendance Report – Duplicate	2	Destroy.	
M0031	Daily Activity and Expense Reports	1	Destroy.	

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RECORDS RETENTION SCHEDULE

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Kentucky Department for Libraries and Archives

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I = Indefinite
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Miscellaneous Records

Electronic = Automated System

Schedule Date: December 14, 1995

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
M0032	State Records Retention Schedule (copy of previous schedule retained permanently at the Public Records Division)	I	Destroy when superseded and when no longer useful to Records Officer.	
M0033	Transmittals of Permanent Records – Agency Locator Copy (copy retained permanently at the Public Records Division)	P	Retain in agency.	
M0034	Transmittals of Nonpermanent Records — Agency Locator Copy (copy retained permanently at the Public Records Division)	I	Destroy 1 year after disposal of records.	
M0035	Microfilm Quality Evaluation Form – Duplicate (original retained permanently at the Public Records Division)	P	Retain in agency.	
M0038	State Records Management Manual	I	Update as necessary.	
M0040	Records Destruction Certificates – Agency Copy (original retained permanently at the Public Records Division)	P	Retain in agency.	
M0041	Request for Leave	2 mos.	Destroy.	
M0042	Special Studies and Reports (one-time, unpublished)	P	Transfer 1 copy to the State Archives Center after completion of Special Study or Report. Retain 1 copy in the agency. Destroy excess copies when no longer useful.	
M0043	Information Resources Plans	6	Destroy.	
M0044	Employee Suggestion File (C) 10 1 KAR 2:120, Sec. 3(6)	I	Destroy 3 years after all administrative activity has ceased and after audit.	
M0045	Press Releases	2	Destroy.	

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Miscellaneous Records

Schedule Date: December 14, 1995

Electronic = Automated System

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
M0046	Videotapes – State Agency Activities	I	Transfer to the State Archives Center when administrative value has ceased. NOTE: All videotapes should be transferred.	P
M0047	Photographic File – State Agency Activities	I	Transfer to the State Archives Center when administrative value has ceased. NOTE: All photographs should be transferred.	P
M0048	Motion Pictures – State Agency Activities	I	Transfer to the State Archives Center when administrative value has ceased. NOTE: All motion pictures should be transferred.	P

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General Schedule for State Agencies

Electronic and Related Records

C = Confidential Record

Schedule Date: December 1988

Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
E0001	<p>Ancillary Files</p> <p>Files/Records created in central ADP facilities to create, use, and maintain master Files</p> <p>a. Electronic files or records created solely to test system performance, such as test records, as well as related documentation for the electronic files/records</p> <p>b. Electronic files or records used to create or update a master file, including but not limited to, work files, valid transaction files, and intermediate input/output records</p> <p>c. Electronic files created to monitor system usage, including but not limited to, log-in files, password files, audit trail files, system usage files and cost-back files used to assess charges for system use</p>	<p>I</p> <p>I</p> <p>I</p>	<p>Delete/destroy when no longer needed. NOTE: Advise auditor of Public Accounts, EDP audit manager before deleting/destroying.</p> <p>Delete after information has been transferred to the master file and verified.</p> <p>Delete when no longer needed in accordance with sound business practice and agency standard operating procedures. NOTE: Advise auditor of Public Accounts, EDP audit manager before deleting/destroying.</p>	
E0002	<p>Input Source Records</p> <p>a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as needed for signatures) and not previously scheduled for permanent retention in an approved agency Records Retention Schedule</p>	<p>I</p>	<p>Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.</p>	

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General Schedule for State Agencies

Electronic and Related Records

Schedule Date: December 1988

Series No.	Record Title and Description		AGENCY INSTRUCTIONS	Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
E0002	Input/Source Records (cont.)			
	b. Electronic records, except as noted in item E0002c, entered into the system during an update process, and not required for audit and legal purposes	I	Delete when data have been entered into the master file database and verified, or when no longer required to support reconstruction of, or serve as backup to, master file or database, whichever is later.	
	c. Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency	I	Delete when data have been entered into the master file database and verified, or when no longer required to support reconstruction of, or serve as backup to, master file or database, whichever is later.	
	d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database	I	Delete after the necessary data have been incorporated into the master file.	
E0003	Master Files (including master files that are components of database management systems) relating to administrative functions master files that:			
	a. replace, in whole or in part, administrative records scheduled for disposal under the general schedules for manual records	I	Delete after the expiration of the retention period authorized for the disposable hard copy file or when no longer needed, whichever is later.	

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Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
E0003	Master Files (cont.) b. consist only of the same information as is contained in all or portions of the disposable records it replaces or duplicates.	I	Delete/destroy when no longer needed.	
E0004	Data Files Consisting of Summarized Information. Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or database that is disposable under a KDLA general schedule item or is authorized for deletion by a disposition job approved by KDLA after January 1, 1988, EXCLUDING data files that are: a. created as disclosure-free files to how public access to the data; or b. created from a master file or database that is unscheduled or that was scheduled as permanent but no longer exists or can no longer be accessed; which may not be destroyed before securing KDLA approval.	I	Delete when no longer needed for current business.	

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Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
E0005	Records Consisting of Extracted Information Electronic files consisting solely of records extracted from a single master file or database that is disposable under this general schedule or approved for deletion by a KDLA approved disposition job, EXCLUDING extracts that are: a. produced as disclosure-free files to allow public access to the data; or b. produced from a master file or database that is unscheduled or that was scheduled as permanent but can no longer be accessed; or c. produced by an extraction process which changes the informational content of the source master file database; which may not be destroyed before securing KDLA approval (for print and technical reformat files, see items E0006 and E0007, respectively)	I	Delete when no longer needed for current business.	
E0006	Print File Electronic file extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and reports	I	Delete when no longer needed.	
E0007	Technical Reformat File Electronic file consisting of data copied from a master file or database for the specific purpose of information interchange & written with varying technical specifications, EXCLUDING files created for transfer to the State Archives	I	Delete when no longer needed.	

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Series No.	Record Tide and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
		Retain at Agency (Years)	Disposition Instructions	
E0008	Security Backup File Electronic file consisting of data identical in physical formal to a master file or database and retained in case the master file or database is damaged or inadvertently erased a. File identical to records scheduled for transfer to the State Archives b. File identical to records authorized for disposal in a KDLA-approved records retention schedule	I I	Delete when the identical records have been transferred to the State Archives and successfully copied or when replaced by a subsequent security backup file. Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.	
E0009	Finding Aids (or Indexes) Electronic indexes, lists, registers, & other finding aids used only to provide access to records authorized for destruction by this general schedule or a KDLA-approved Records Retention Schedule, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related Records	I	Delete when related records are deleted, or when no longer needed, whichever is later.	
E0010	Special Purpose Programs Application software necessary solely to use or maintain a master file or database item or a KDLA-approved Records Retention Schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database scheduled for transfer to the State Archives	I	Delete when related master file or database has been deleted.	

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Series No.	Record Title and Description	AGENCY INSTRUCTIONS		Retain at State Archives or Records Center (Years)
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E0011	Documentation Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for disposal in a KDLA-approved Records Retention Schedule, EXCLUDING documentation relating to any unscheduled master file or database or relating to any master file or database scheduled for transfer to the State Archives (see item E0001a of this schedule for documentation relating to system testing)	I	Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or database.	

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